UNITED STATES BANKRUPTCY COURT

Southern District of New York

In re Lehman Brothers Holdings, Inc.	Case No. <u>08-13555 (JMP)</u>
TRANSFER OF CLAIM OT	HER THAN FOR SECURITY
A CLAIM HAS BEEN FILED IN THIS CASE or dhereby gives evidence and notice pursuant to Rule 3 than for security, of the claim referenced in this evidence.	001(e)(2), Fed. R. Bankr. P., of the transfer, other
SMBC Nikko Securities Inc.	Nikko Cordial Securities Inc.
Name of Transferee	Name of Transferor
Name and Address where notices to transferee should be sent: **SMBC Nikko Securities Inc., 3-1 Marunouchi 3-chome, Chiyoda-ku, Tokyo 100-8325 Japan	Court Claim # (if known):45941 Amount of Claim:\$946,342.38 Date Claim Filed:10/26/2009
Attn: Hideyuki Shinike Phone: 81-3-5644-3111	Phone:
Last Four Digits of Acct #:	Phone: Last Four Digits of Acct. #:
Name and Address where transferee payments should be sent (if different from above): SMBC Nikko Securities Inc., 3-1 Marunouchi 3-chome, Chiyoda-ku, Tokyo 100-8325 Japan Attn: Hideyuki Shinike Phone: 81-3-5644-3111 Last Four Digits of Acct #:	Name and Address where notices to transferee should be sent: **Ira A. Reid Baker & McKenzie LLP 1114 Avenue of the Americas New York, NY 10036
I declare under penalty of perjury that the information best of my knowledge and belief.	on provided in this notice is true and correct to the
By: J. Mateumweto Transferee/Transferee's Agent	Date: 04/ 5/2011

Penalty for making a false statement: Fine of up to \$500,000 or imprisonment for up to 5 years, or both. 18 U.S.C. §§ 152 & 3571.

Form	210B	(12/09)
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Southern Di	strict Of New York
In re Lehman Brothers Holdings, Inc. ,	Case No. <u>08-13555 (JMP)</u>
NOTICE OF TRANSFER OF CL	AIM OTHER THAN FOR SECURITY
	ed filed under 11 U.S.C. § 1111(a) in this case by the of that claim, the transferee filed a Transfer of Claim his court on (date).
Nikko Cordial Securities Inc. Name of Alleged Transferor	SMBC Nikko Securities Inc. Name of Transferee
Address of Alleged Transferor:	Address of Transferee:
Aarunouchi 3-chome, Chìyoda-ku Tokyo 100-8325, Japan	Marunouchi 3-chome, Chiyoda-ku Tokyo 100-8325, Japan
~~DEADLINE TO (OBJECT TO TRANSFER~~
vithin twenty-one (21) days of the mailing of th	tified that objections must be filed with the court his notice. If no objection is timely received by the riginal claimant without further order of the court.
Date:	

TO: Clerk of the Court

United States Bankruptcy Court

Southern District of New York ("Bankruptcy Court")

New York, New York

RE:

Lehman Brothers Holdings, Inc. ("Debtor")

Case No. 08-13555 (JMP)

Claim #: 45941

Nikko Cordial Securities Inc. ("<u>Transferor</u>"), for value received, the adequacy and sufficiency of which are hereby acknowledged, does hereby unconditionally and irrevocably transferred and assign to SMBC Nikko Securities Inc., its successors and assigns ("<u>Transferee</u>"), all rights, title and interest in and to the claim of Transferor in the amount of U.S. \$946,342.38 ("<u>Claim</u>") against the Debtor in the Bankruptcy Court, or any other court with jurisdiction over the bankruptcy proceedings of the Debtor.

Transferor hereby waives any objection to the transfer of the Claim to Transferee on the books and records of the Debtor and the Bankruptcy Court, and hereby waives to the fullest extent permitted by law any notice or right to a hearing as may be imposed by Rule 3001 of the Federal Rules of Bankruptcy Procedure, the Bankruptcy Code, applicable local bankruptcy rules or applicable law. Transferor acknowledges and understands, and hereby stipulates that an order of the Bankruptcy Court may be entered without further notice to Transferor transferring to Transferee the Claim and recognizing the Transferee as the sole owner and holder of the Claim, and that all payments or distributions of money or property in respect of the Claim be delivered or made to Transferee.

You are hereby directed to make all future payments and distributions to Transferee, at SMBC Nikko Securities Inc., 3-1, Marunouchi 3-chome, Chiyoda-ku, Tokyo 100-8325, Japan; and to give all notices and other communications, in respect of the Claim to SMBC Nikko Securities Inc., 3-1, Marunouchi 3-chome, Chiyoda-ku, Tokyo 100-8325, Japan, Telephone number: +81-3-5644-3111, shinike_hideyuki@smbc.nikko.co.jp,, and Baker & McKenzie LLP, 1114 Avenue of the Americas, New York, NY 10036, Attn: Ira A. Reid, Tele. No. 212-891-3976, ira.reid@bakermckenzie.com.

IN WITNESS WHEREOF, the undersigned has duly executed this Assignment of Claim by its duly authorized representative dated April <u>5</u>, 2011.

SMBC Nikko Securities Inc., as Transferee:

Jouii Matsumoto

General Manager of the Legal Division

Nikko Cordial Securities Inc., as Transferor

sy: J. matsumoto

General Manager of the Legal Division

UNITED STATES BANKRUPTCY COURT

Southern District of New York

In re <u>Lehman Brothers Holdings, Inc.</u> ,	Case No. <u>08-13555 (JMP)</u>
TRANSFER OF CLAIM OT A CLAIM HAS BEEN FILED IN THIS CASE or chereby gives evidence and notice pursuant to Rule 3 than for security, of the claim referenced in this evid	3001(e)(2), Fed. R. Bankr. P., of the transfer, other
SMBC Nikko Securities Inc.	Nikko Cordial Securities Inc.
Name of Transferee	Name of Transferor
Name and Address where notices to transferee should be sent: **SMBC Nikko Securities Inc., 3-1 Marunouchi 3-chome, Chiyoda-ku, Tokyo 100-8325 Japan Attn: Hideyuki Shinike Phone: 81-3-5644-3111 Last Four Digits of Acct #:	Court Claim # (if known): 45942 Amount of Claim: \$961,853.08 Date Claim Filed: 10/26/2009 Phone: Last Four Digits of Acct. #:
Name and Address where transferee payments should be sent (if different from above): SMBC Nikko Securities Inc., 3-1 Marunouchi 3-chome, Chiyoda-ku, Tokyo 100-8325 Japan Attn: Hideyuki Shinike Phone: 81-3-5644-3111 Last Four Digits of Acct #:	Name and Address where notices to transferee should be sent: **Ira A. Reid Baker & McKenzie LLP 1114 Avenue of the Americas New York, NY 10036
I declare under penalty of perjury that the information best of my knowledge and belief.	on provided in this notice is true and correct to the
By: On all materials of the state of the sta	Date: 04/5/2011

Penalty for making a false statement: Fine of up to \$500,000 or imprisonment for up to 5 years, or both. 18 U.S.C. §§ 152 & 3571.

Form	210B	(12/09)

Southern D	istrict Of <u>New York</u>
n re <u>Lehman Brothers Holdings, Inc.</u> , (Case No. <u>08-13555 (JMP)</u>
NOTICE OF TRANSFER OF CI	AIM OTHER THAN FOR SECURITY
Claim No. 45942 (if known) was filed or deem alleged transferor. As evidence of the transfer of the transfer of the transfer of the transfer of the clerk's office of the cl	ed filed under 11 U.S.C. § 1111(a) in this case by the of that claim, the transferee filed a Transfer of Claim this court on (date).
Nikko Cordial Securities Inc. Name of Alleged Transferor	SMBC Nikko Securities Inc. Name of Transferee
•	Name of Transferee
Address of Alleged Transferor:	Address of Transferee:
Marunouchi 3-chome, Chiyoda-ku Tokyo 100-8325, Japan	Marunouchi 3-chome, Chiyoda-ku Tokyo 100-8325, Japan
	OBJECT TO TRANSFER~~
within twenty-one (21) days of the mailing of the	otified that objections must be filed with the court his notice. If no objection is timely received by the riginal claimant without further order of the court.
,	
Date:	

TO: Clerk of the Court

United States Bankruptcy Court

Southern District of New York ("Bankruptcy Court")

New York, New York

RE:

Lehman Brothers Holdings, Inc. ("Debtor")

Case No. 08-13555 (JMP)

Claim #: 45942

Nikko Cordial Securities Inc. ("<u>Transferor</u>"), for value received, the adequacy and sufficiency of which are hereby acknowledged, does hereby unconditionally and irrevocably transferred and assign to SMBC Nikko Securities Inc., its successors and assigns ("<u>Transferee</u>"), all rights, title and interest in and to the claim of Transferor in the amount of U.S. \$961,853.08 ("<u>Claim</u>") against the Debtor in the Bankruptcy Court, or any other court with jurisdiction over the bankruptcy proceedings of the Debtor.

Transferor hereby waives any objection to the transfer of the Claim to Transferee on the books and records of the Debtor and the Bankruptcy Court, and hereby waives to the fullest extent permitted by law any notice or right to a hearing as may be imposed by Rule 3001 of the Federal Rules of Bankruptcy Procedure, the Bankruptcy Code, applicable local bankruptcy rules or applicable law. Transferor acknowledges and understands, and hereby stipulates that an order of the Bankruptcy Court may be entered without further notice to Transferor transferring to Transferee the Claim and recognizing the Transferee as the sole owner and holder of the Claim, and that all payments or distributions of money or property in respect of the Claim be delivered or made to Transferee.

You are hereby directed to make all future payments and distributions to Transferee, at SMBC Nikko Securities Inc., 3-1, Marunouchi 3-chome, Chiyoda-ku, Tokyo 100-8325, Japan; and to give all notices and other communications, in respect of the Claim to SMBC Nikko Securities Inc., 3-1, Marunouchi 3-chome, Chiyoda-ku, Tokyo 100-8325, Japan, Telephone number: +81-3-5644-3111, shinike_hideyuki@smbc.nikko.co.jp,, and Baker & McKenzie LLP, 1114 Avenue of the Americas, New York, NY 10036, Attn: Ira A. Reid, Tele. No. 212-891-3976, ira.reid@bakermckenzie.com.

IN WITNESS WHEREOF, the undersigned has duly executed this Assignment of Claim by its duly authorized representative dated April 5, 2011.

SMBC Nikko Securities Inc., as Transferee:

Jouii Matsumoto

General Manager of the Legal Division

Nikko Cordial Securities Inc., as Transferor

Jouji Matsumoto

General Manager of the Legal Division

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UNITED STATES BANKRUPTCY COURT

Southern District of New York

In re Lehman Brothers Holdings, Inc.	Case No08-13555 (JMP)
	THER THAN FOR SECURITY
A CLAIM HAS BEEN FILED IN THIS CASE or of hereby gives evidence and notice pursuant to Rule than for security, of the claim referenced in this evidence.	deemed filed under 11 U.S.C. § 1111(a). Transferee 3001(e)(2), Fed. R. Bankr. P., of the transfer, other idence and notice.
SMBC Nikko Securities Inc.	Nikko Cordial Securities Inc.
Name of Transferee	Name of Transferor
Name and Address where notices to transferee should be sent: **SMBC Nikko Securities Inc., 3-1 Marunouchi 3-chome, Chiyoda-ku, Tokyo 100-8325 Japan Atta: blidowski Shirika	Court Claim # (if known): 45943 Amount of Claim: \$956,754.85 Date Claim Filed: 10/26/2009
Attn: Hideyuki Shinike Phone: 81-3-5644-3111	Phone:
Phone: <u>81-3-5644-3111</u> Last Four Digits of Acct #:	Phone: Last Four Digits of Acct. #:
Name and Address where transferee payments should be sent (if different from above): SMBC Nikko Securities Inc., 3-1 Marunouchi 3-chome, Chiyoda-ku, Tokyo 100-8325 Japan Attn: Hideyuki Shinike Phone: 81-3-5644-3111 Last Four Digits of Acct #:	Name and Address where notices to transfere should be sent: **Ira A. Reid Baker & McKenzie LLP 1114 Avenue of the Americas New York, NY 10036
I declare under penalty of perjury that the informati best of my knowledge and belief. By: Analysmoto	on provided in this notice is true and correct to the

Penalty for making a false statement: Fine of up to \$500,000 or imprisonment for up to 5 years, or both. 18 U.S.C. §§ 152 & 3571.

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Southern Dis	strict Of New York
In re Lehman Brothers Holdings, Inc. ,	ase No. <u>08-13555 (JMP)</u>
NOTICE OF TRANSFER OF CL	AIM OTHER THAN FOR SECURITY
	ed filed under 11 U.S.C. § 1111(a) in this case by the of that claim, the transferee filed a Transfer of Claim his court on (date).
Nikko Cordial Securities Inc.	SMBC Nikko Securities Inc.
Name of Alleged Transferor	Name of Transferee
Address of Alleged Transferor:	Address of Transferee:
Marunouchi 3-chome, Chiyoda-ku Tokyo 100-8325, Japan	Marunouchi 3-chome, Chiyoda-ku Tokyo 100-8325, Japan
~~DEADLINE TO C	DBJECT TO TRANSFER~
	ified that objections must be filed with the court is notice. If no objection is timely received by the
	iginal claimant without further order of the court.
Date:	
	CLERK OF THE COURT

TO: Clerk of the Court

United States Bankruptcy Court

Southern District of New York ("Bankruptcy Court")

New York, New York

RE:

Lehman Brothers Holdings, Inc. ("Debtor")

Case No. 08-13555 (JMP)

Claim #: 45943

Nikko Cordial Securities Inc. ("Transferor"), for value received, the adequacy and sufficiency of which are hereby acknowledged, does hereby unconditionally and irrevocably transferred and assign to SMBC Nikko Securities Inc., its successors and assigns ("Transferee"), all rights, title and interest in and to the claim of Transferor in the amount of U.S. \$956,754.85 ("Claim") against the Debtor in the Bankruptcy Court, or any other court with jurisdiction over the bankruptcy proceedings of the Debtor.

Transferor hereby waives any objection to the transfer of the Claim to Transferee on the books and records of the Debtor and the Bankruptcy Court, and hereby waives to the fullest extent permitted by law any notice or right to a hearing as may be imposed by Rule 3001 of the Federal Rules of Bankruptcy Procedure, the Bankruptcy Code, applicable local bankruptcy rules or applicable law. Transferor acknowledges and understands, and hereby stipulates that an order of the Bankruptcy Court may be entered without further notice to Transferor transferring to Transferee the Claim and recognizing the Transferee as the sole owner and holder of the Claim, and that all payments or distributions of money or property in respect of the Claim be delivered or made to Transferee.

You are hereby directed to make all future payments and distributions to Transferee, at SMBC Nikko Securities Inc., 3-1, Marunouchi 3-chome, Chiyoda-ku, Tokyo 100-8325, Japan; and to give all notices and other communications, in respect of the Claim to SMBC Nikko Securities Inc., 3-1, Marunouchi 3-chome, Chiyoda-ku, Tokyo 100-8325, Japan, Telephone number: +81-3-5644-3111, shinike_hideyuki@smbc.nikko.co.jp,, and Baker & McKenzie LLP, 1114 Avenue of the Americas, New York, NY 10036, Attn: Ira A. Reid, Tele. No. 212-891-3976, ira.reid@bakermckenzie.com.

IN WITNESS WHEREOF, the undersigned has duly executed this Assignment of Claim by its duly authorized representative dated April 4, 2011.

SMBC Nikko Securities Inc., as Transferee:

Jouri Matsumoto

General Manager of the Legal Division

utsumato

Nikko Cordial Securities Inc., as Transferor

Jouii Matsumoto

General Manager of the Legal Division

· matsumoto

UNITED STATES BANKRUPTCY COURT

Southern District of New York

In re Lehman Brothers Holdings, Inc.	Case No. <u>08-13555 (JMP)</u>
TRANSFER OF CLAIM OT A CLAIM HAS BEEN FILED IN THIS CASE or of hereby gives evidence and notice pursuant to Rule 3 than for security, of the claim referenced in this evidence.	3001(e)(2), Fed. R. Bankr. P., of the transfer, other
SMBC Nikko Securities Inc.	Nikko Cordial Securities Inc.
Name of Transferee	Name of Transferor
Name and Address where notices to transferee should be sent: **SMBC Nikko Securities Inc., 3-1 Marunouchi 3-chome, Chiyoda-ku, Tokyo 100-8325 Japan	Court Claim # (if known): 45944 Amount of Claim: \$961,374.82 Date Claim Filed: 10/26/2009
Attn: Hideyuki Shinike Phone: 81-3-5644-3111	Phone:
Phone:81-3-5644-3111 Last Four Digits of Acct #:	Phone: Last Four Digits of Acct. #:
Name and Address where transferee payments should be sent (if different from above): SMBC Nikko Securities Inc., 3-1 Marunouchi 3-chome, Chiyoda-ku, Tokyo 100-8325 Japan Attn: Hideyuki Shinike Phone: 81-3-5644-3111 Last Four Digits of Acct #:	Name and Address where notices to transfere should be sent: **Ira A. Reid Baker & McKenzie LLP 1114 Avenue of the Americas New York, NY 10036
I declare under penalty of perjury that the information best of my knowledge and belief. By: A matsumoto	on provided in this notice is true and correct to the

Penalty for making a false statement: Fine of up to \$500,000 or imprisonment for up to 5 years, or both. 18 U.S.C. §§ 152 & 3571.

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<u>Southern</u> D	istrict Of <u>New York</u>
In re <u>Lehman Brothers Holdings, Inc.</u> ,	Case No. 08-13555 (JMP)
NOTICE OF TRANSFER OF CI	LAIM OTHER THAN FOR SECURITY
	ned filed under II U.S.C. § 1111(a) in this case by the of that claim, the transferee filed a Transfer of Claim this court on (date).
Nikko Cordial Securities Inc. Name of Alleged Transferor	SMBC Nikko Securities Inc. Name of Transferee
Address of Alleged Transferor:	Address of Transferee:
Marunouchi 3-chome, Chiyoda-ku Tokyo 100-8325, Japan	Marunouchi 3-chome, Chiyoda-ku Tokyo 100-8325, Japan
~~DEADLINE TO	OBJECT TO TRANSFER~~
within twenty-one (21) days of the mailing of t	otified that objections must be filed with the court this notice. If no objection is timely received by the original claimant without further order of the court.
Date:	
	CLERK OF THE COURT

TO: Clerk of the Court

United States Bankruptcy Court

Southern District of New York ("Bankruptcy Court")

New York, New York

RE:

Lehman Brothers Holdings, Inc. ("Debtor")

Case No. 08-13555 (JMP)

Claim #: 45944

Nikko Cordial Securities Inc. ("<u>Transferor</u>"), for value received, the adequacy and sufficiency of which are hereby acknowledged, does hereby unconditionally and irrevocably transferred and assign to SMBC Nikko Securities Inc., its successors and assigns ("<u>Transferee</u>"), all rights, title and interest in and to the claim of Transferor in the amount of U.S. \$961,374.82 ("<u>Claim</u>") against the Debtor in the Bankruptcy Court, or any other court with jurisdiction over the bankruptcy proceedings of the Debtor.

Transferor hereby waives any objection to the transfer of the Claim to Transferee on the books and records of the Debtor and the Bankruptcy Court, and hereby waives to the fullest extent permitted by law any notice or right to a hearing as may be imposed by Rule 3001 of the Federal Rules of Bankruptcy Procedure, the Bankruptcy Code, applicable local bankruptcy rules or applicable law. Transferor acknowledges and understands, and hereby stipulates that an order of the Bankruptcy Court may be entered without further notice to Transferor transferring to Transferee the Claim and recognizing the Transferee as the sole owner and holder of the Claim, and that all payments or distributions of money or property in respect of the Claim be delivered or made to Transferee.

You are hereby directed to make all future payments and distributions to Transferee, at SMBC Nikko Securities Inc., 3-1, Marunouchi 3-chome, Chiyoda-ku, Tokyo 100-8325, Japan; and to give all notices and other communications, in respect of the Claim to SMBC Nikko Securities Inc., 3-1, Marunouchi 3-chome, Chiyoda-ku, Tokyo 100-8325, Japan, Telephone number: +81-3-5644-3111, shinike_hideyuki@smbc.nikko.co.jp,, and Baker & McKenzie LLP, 1114 Avenue of the Americas, New York, NY 10036, Attn: Ira A. Reid, Tele. No. 212-891-3976, ira.reid@bakermckenzie.com.

IN WITNESS WHEREOF, the undersigned has duly executed this Assignment of Claim by its duly authorized representative dated April 5, 2011.

SMBC Nikko Securities Inc., as Transferee:

Jouji Matsumoto

General Manager of the Legal Division

Nikko Cordial Securities Inc., as Transferor

Jouji Matsumoto

General Manager of the Legal Division

- matsumoto

UNITED STATES BANKRUPTCY COURT

Southern District of New York

In re Lehman Brothers Holdings, Inc.	Case No. 08-13555 (JMP)
TRANSFER OF CLAIM OT A CLAIM HAS BEEN FILED IN THIS CASE or d hereby gives evidence and notice pursuant to Rule 3 than for security, of the claim referenced in this evid	001(e)(2), Fed. R. Bankr. P., of the transfer, other
SMBC Nikko Securities Inc. Name of Transferee	Nikko Cordial Securities Inc. Name of Transferor
Name and Address where notices to transferee should be sent: **SMBC Nikko Securities Inc., 3-1 Marunouchi 3-chome, Chiyoda-ku, Tokyo 100-8325 Japan Attn: Hideyuki Shinike	Court Claim # (if known): 45945 Amount of Claim: \$4,258,540.74 Date Claim Filed: 10/26/2009
Phone: 81-3-5644-3111	Phone: Last Four Digits of Acct. #:
Name and Address where transferee payments should be sent (if different from above): SMBC Nikko Securities Inc., 3-1 Marunouchi 3-chome, Chiyoda-ku, Tokyo 100-8325 Japan Attn: Hideyuki Shinike Phone: 81-3-5644-3111 Last Four Digits of Acct #:	Name and Address where notices to transferee should be sent: **Ira A. Reid Baker & McKenzie LLP 1114 Avenue of the Americas New York, NY 10036
I declare under penalty of perjury that the information best of my knowledge and belief. By: O. Malsumolo	on provided in this notice is true and correct to the Date: 04/

Penalty for making a false statement: Fine of up to \$500,000 or imprisonment for up to 5 years, or both. 18 U.S.C. §§ 152 & 3571.

Form 210B (12/09)

NOTICE OF TRANSFER OF CLAIM OTHER THAN FOR SECURITY		
	filed under 11 U.S.C. § 1111(a) in this case by the that claim, the transferee filed a Transfer of Claim s court on (date).	
Nikko Cordial Securities Inc.	SMBC Nikko Securities Inc.	
Name of Alleged Transferor	Name of Transferee	
Address of Alleged Transferor:	Address of Transferee:	
Marunouchi 3-chome, Chiyoda-ku Tokyo 100-8325, Japan	Marunouchi 3-chome, Chiyoda-ku Tokyo 100-8325, Japan	
	BJECT TO TRANSFER~~	
The alleged transferor of the claim is hereby notify within twenty-one (21) days of the mailing of this court, the transferee will be substituted as the orig	notice. If no objection is timely received by the	
ithin twenty-one (21) days of the mailing of this	notice. If no objection is timely received by the	

TO: Clerk of the Court

United States Bankruptcy Court

Southern District of New York ("Bankruptcy Court")

New York, New York

RE:

Lehman Brothers Holdings, Inc. ("Debtor")

Case No. 08-13555 (JMP)

Claim #: 45945

Nikko Cordial Securities Inc. ("<u>Transferor</u>"), for value received, the adequacy and sufficiency of which are hereby acknowledged, does hereby unconditionally and irrevocably transferred and assign to SMBC Nikko Securities Inc., its successors and assigns ("<u>Transferee</u>"), all rights, title and interest in and to the claim of Transferor in the amount of U.S. \$4,258,540.74 ("<u>Claim</u>") against the Debtor in the Bankruptcy Court, or any other court with jurisdiction over the bankruptcy proceedings of the Debtor.

Transferor hereby waives any objection to the transfer of the Claim to Transferee on the books and records of the Debtor and the Bankruptcy Court, and hereby waives to the fullest extent permitted by law any notice or right to a hearing as may be imposed by Rule 3001 of the Federal Rules of Bankruptcy Procedure, the Bankruptcy Code, applicable local bankruptcy rules or applicable law. Transferor acknowledges and understands, and hereby stipulates that an order of the Bankruptcy Court may be entered without further notice to Transferor transferring to Transferee the Claim and recognizing the Transferee as the sole owner and holder of the Claim, and that all payments or distributions of money or property in respect of the Claim be delivered or made to Transferee.

You are hereby directed to make all future payments and distributions to Transferee, at SMBC Nikko Securities Inc., 3-1, Marunouchi 3-chome, Chiyoda-ku, Tokyo 100-8325, Japan; and to give all notices and other communications, in respect of the Claim to SMBC Nikko Securities Inc., 3-1, Marunouchi 3-chome, Chiyoda-ku, Tokyo 100-8325, Japan, Telephone number: +81-3-5644-3111, shinike_hideyuki@smbc.nikko.co.jp, and Baker & McKenzie LLP, 1114 Avenue of the Americas, New York, NY 10036, Attn: Ira A. Reid, Tele. No. 212-891-3976, ira.reid@bakermckenzie.com.

IN WITNESS WHEREOF, the undersigned has duly executed this Assignment of Claim by its duly authorized representative dated April 5, 2011.

SMBC Nikko Securities Inc., as Transferee:

Jouis Mateumoto

General Manager of the Legal Division

Nikko Cordial Securities Inc., as Transferor

Jouji Matsumoto

General Manager of the Legal Division

UNITED STATES BANKRUPTCY COURT

Southern District of New York

In re Lehman Brothers Holdings, Inc.	Case No. <u>08-13555 (JMP)</u>
TRANSFER OF CLAIM OT	HER THAN FOR SECURITY
A CLAIM HAS BEEN FILED IN THIS CASE or d hereby gives evidence and notice pursuant to Rule 3 than for security, of the claim referenced in this evid	001(e)(2), Fed. R. Bankr. P., of the transfer, other
SMBC Nikko Securities Inc.	Nikko Cordial Securities Inc.
Name of Transferee	Name of Transferor
Name and Address where notices to transferee should be sent: **SMBC Nikko Securities Inc., 3-1 Marunouchi 3-chome, Chiyoda-ku, Tokyo 100-8325 Japan	Court Claim # (if known): 45946 Amount of Claim: \$3,785,369.52 Date Claim Filed: 10/26/2009
Attn: Hideyuki Shinike Phone: <u>81-3-5644-3111</u>	Phone
Last Four Digits of Acct #:	Phone: Last Four Digits of Acct, #:
Name and Address where transferee payments should be sent (if different from above): SMBC Nikko Securities Inc., 3-1 Marunouchi 3-chome, Chiyoda-ku, Tokyo 100-8325 Japan Attn: Hideyuki Shinike Phone: 81-3-5644-3111 Last Four Digits of Acct #:	Name and Address where notices to transferee should be sent: **Ira A. Reid Baker & McKenzie LLP 1114 Avenue of the Americas New York, NY 10036
I declare under penalty of perjury that the information best of my knowledge and belief. By: A. Matsumoto	on provided in this notice is true and correct to the Date: 04/5/2011

Penalty for making a false statement: Fine of up to \$500,000 or imprisonment for up to 5 years, or both. 18 U.S.C. §§ 152 & 3571.

Form	21	0R	(12	/09
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_Southern Dis	trict Of New York
In re Lehman Brothers Holdings, Inc. Ca	ase No. <u>08-13555 (JMP)</u>
NOTICE OF TRANSFER OF CLA	AIM OTHER THAN FOR SECURITY
	d filed under 11 U.S.C. § 1111(a) in this case by the f that claim, the transferee filed a Transfer of Claim is court on (date).
Nikko Cordial Securities Inc.	SMBC Nikko Securities Inc.
Name of Alleged Transferor	Name of Transferee
Address of Alleged Transferor:	Address of Transferee:
Marunouchi 3-chome, Chiyoda-ku Tokyo 100-8325, Japan	Marunouchi 3-chome, Chiyoda-ku Tokyo 100-8325, Japan
~~DEADLINE TO O	BJECT TO TRANSFER~~
The alleged transferor of the claim is hereby notif	
	s notice. If no objection is timely received by the
court, the transferee will be substituted as the orig	ginal claimant without further order of the court.
Date:	
	CLERK OF THE COURT

TO: Clerk of the Court

United States Bankruptcy Court Southern District of New York ("Bankruptcy Court")

New York, New York

RE:

Lehman Brothers Holdings, Inc. ("Debtor")

Case No. 08-13555 (JMP)

Claim #: 45946

Nikko Cordial Securities Inc. ("<u>Transferor</u>"), for value received, the adequacy and sufficiency of which are hereby acknowledged, does hereby unconditionally and irrevocably transferred and assign to SMBC Nikko Securities Inc., its successors and assigns ("<u>Transferee</u>"), all rights, title and interest in and to the claim of Transferor in the amount of U.S. \$3,785,369.52 ("<u>Claim</u>") against the Debtor in the Bankruptcy Court, or any other court with jurisdiction over the bankruptcy proceedings of the Debtor.

Transferor hereby waives any objection to the transfer of the Claim to Transferee on the books and records of the Debtor and the Bankruptcy Court, and hereby waives to the fullest extent permitted by law any notice or right to a hearing as may be imposed by Rule 3001 of the Federal Rules of Bankruptcy Procedure, the Bankruptcy Code, applicable local bankruptcy rules or applicable law. Transferor acknowledges and understands, and hereby stipulates that an order of the Bankruptcy Court may be entered without further notice to Transferor transferring to Transferee the Claim and recognizing the Transferee as the sole owner and holder of the Claim, and that all payments or distributions of money or property in respect of the Claim be delivered or made to Transferee.

You are hereby directed to make all future payments and distributions to Transferee, at SMBC Nikko Securities Inc., 3-1, Marunouchi 3-chome, Chiyoda-ku, Tokyo 100-8325, Japan; and to give all notices and other communications, in respect of the Claim to SMBC Nikko Securities Inc., 3-1, Marunouchi 3-chome, Chiyoda-ku, Tokyo 100-8325, Japan, Telephone number: +81-3-5644-3111, shinike_hideyuki@smbc.nikko.co.jp, and Baker & McKenzie LLP, 1114 Avenue of the Americas, New York, NY 10036, Attn: Ira A. Reid, Tele. No. 212-891-3976, ira.reid@bakermckenzie.com.

IN WITNESS WHEREOF, the undersigned has duly executed this Assignment of Claim by its duly authorized representative dated April 5, 2011.

SMBC Nikko Securities Inc., as Transferee:

Jouji Matsumoto

General Manager of the Legal Division

Nikko Cordial Securities Inc., as Transferor

Jouji Matsumoto

General Manager of the Legal Division

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UNITED STATES BANKRUPTCY COURT

Southern District of New York

In re Lehman Brothers Holdings, Inc. ,	Case No. 08-13555 (JMP)
TRANSFER OF CLAIM OT A CLAIM HAS BEEN FILED IN THIS CASE or de hereby gives evidence and notice pursuant to Rule 3 than for security, of the claim referenced in this evid	001(e)(2), Fed. R. Bankr. P., of the transfer, other
SMBC Nikko Securities Inc. Name of Transferee	Nikko Cordial Securities Inc. Name of Transferor
Name and Address where notices to transferee should be sent: **SMBC Nikko Securities Inc., 3-1 Marunouchi 3-chome, Chiyoda-ku, Tokyo 100-8325 Japan Attn: Hideyuki Shinike Phone: 81-3-5644-3111 Last Four Digits of Acct #:	Court Claim # (if known):45947 Amount of Claim:\$821,584.80 Date Claim Filed:10/26/2009 Phone: Last Four Digits of Acct. #:
Name and Address where transferee payments should be sent (if different from above): SMBC Nikko Securities Inc., 3-1 Marunouchi 3-chome, Chiyoda-ku, Tokyo 100-8325 Japan Attn: Hideyuki Shinike Phone: 81-3-5644-3111 Last Four Digits of Acct #:	Name and Address where notices to transferee should be sent: **Ira A. Reid Baker & McKenzie LLP 1114 Avenue of the Americas New York, NY 10036
I declare under penalty of perjury that the information best of my knowledge and belief. By:	on provided in this notice is true and correct to the Date: 04/\$\sum_{72011}\$

Penalty for making a false statement: Fine of up to \$500,000 or imprisonment for up to 5 years, or both. 18 U.S.C. §§ 152 & 3571.

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Dis	strict Of <u>New York</u>	
n re <u>Lehman Brothers Holdings, Inc.</u> , C	ase No. <u>08-13555 (JMP)</u>	
NOTICE OF TRANSFER OF CLAIM OTHER THAN FOR SECURITY		
	d filed under 11 U.S.C. § 1111(a) in this case by the of that claim, the transferee filed a Transfer of Claim his court on (date).	
Nikko Cordial Securities Inc.	SMBC Nikko Securities Inc.	
Name of Alleged Transferor	Name of Transferee	
Address of Alleged Transferor:	Address of Transferee:	
Marunouchi 3-chome, Chiyoda-ku Fokyo 100-8325, Japan	Marunouchi 3-chome, Chiyoda-ku Tokyo 100-8325, Japan	
	DBJECT TO TRANSFER~~	
within twenty-one (21) days of the mailing of th	ified that objections must be filed with the court is notice. If no objection is timely received by the iginal claimant without further order of the court.	
	-	
Date:		

TO: Clerk of the Court

United States Bankruptcy Court

Southern District of New York ("Bankruptcy Court")

New York, New York

RE:

Lehman Brothers Holdings, Inc. ("Debtor")

Case No. 08-13555 (JMP)

Claim #: 45947

Nikko Cordial Securities Inc. ("<u>Transferor</u>"), for value received, the adequacy and sufficiency of which are hereby acknowledged, does hereby unconditionally and irrevocably transferred and assign to SMBC Nikko Securities Inc., its successors and assigns ("<u>Transferee</u>"), all rights, title and interest in and to the claim of Transferor in the amount of U.S. \$821,584.80 ("<u>Claim</u>") against the Debtor in the Bankruptcy Court, or any other court with jurisdiction over the bankruptcy proceedings of the Debtor.

Transferor hereby waives any objection to the transfer of the Claim to Transferee on the books and records of the Debtor and the Bankruptcy Court, and hereby waives to the fullest extent permitted by law any notice or right to a hearing as may be imposed by Rule 3001 of the Federal Rules of Bankruptcy Procedure, the Bankruptcy Code, applicable local bankruptcy rules or applicable law. Transferor acknowledges and understands, and hereby stipulates that an order of the Bankruptcy Court may be entered without further notice to Transferor transferring to Transferee the Claim and recognizing the Transferee as the sole owner and holder of the Claim, and that all payments or distributions of money or property in respect of the Claim be delivered or made to Transferee.

You are hereby directed to make all future payments and distributions to Transferee, at SMBC Nikko Securities Inc., 3-1, Marunouchi 3-chome, Chiyoda-ku, Tokyo 100-8325, Japan; and to give all notices and other communications, in respect of the Claim to SMBC Nikko Securities Inc., 3-1, Marunouchi 3-chome, Chiyoda-ku, Tokyo 100-8325, Japan, Telephone number: +81-3-5644-3111, shinike_hideyuki@smbc.nikko.co.jp, and Baker & McKenzie LLP, 1114 Avenue of the Americas, New York, NY 10036, Attn: Ira A. Reid, Tele. No. 212-891-3976, ira.reid@bakermckenzie.com.

IN WITNESS WHEREOF, the undersigned has duly executed this Assignment of Claim by its duly authorized representative dated April 5, 2011.

SMBC Nikko Securities Inc., as Transferee:

Jouji Matsumoto

General Manager of the Legal Division

Nikko Cordial Securities Inc., as Transferor

J. Matsumoto
Jouji Matsumoto

General Manager of the Legal Division

UNITED STATES BANKRUPTCY COURT

Southern District of New York

In re Lehman Brothers Holdings, Inc. ,	Case No. <u>08-13555 (JMP)</u>
TRANSFER OF CLAIM OT A CLAIM HAS BEEN FILED IN THIS CASE or de hereby gives evidence and notice pursuant to Rule 3 than for security, of the claim referenced in this evidence.	001(e)(2), Fed. R. Bankr. P., of the transfer, other
SMBC Nikko Securities Inc.	Nikko Cordial Securities Inc.
Name of Transferee	Name of Transferor
Name and Address where notices to transferee should be sent: **SMBC Nikko Securities Inc., 3-1 Marunouchi 3-chome, Chiyoda-ku, Tokyo 100-8325 Japan Attn: Hideyuki Shinike Phone: _81-3-5644-3111 Last Four Digits of Acct #:	Court Claim # (if known): 45948 Amount of Claim: \$1,514,147.81 Date Claim Filed: 10/26/2009 Phone: Last Four Digits of Acct. #:
Name and Address where transferee payments should be sent (if different from above): SMBC Nikko Securities Inc., 3-1 Marunouchi 3-chome, Chiyoda-ku, Tokyo 100-8325 Japan Attn: Hideyuki Shinike Phone: _81-3-5644-3111 Last Four Digits of Acct #:	Name and Address where notices to transferee should be sent: **Ira A. Reid Baker & McKenzie LLP 1114 Avenue of the Americas New York, NY 10036
I declare under penalty of perjury that the information best of my knowledge and belief.	on provided in this notice is true and correct to the
Bu () Chratsimolo	Date: 04/5/2011

Penalty for making a false statement: Fine of up to \$500,000 or imprisonment for up to 5 years, or both. 18 U.S.C. §§ 152 & 3571.

Form 210B ((12/09)
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Southern [District Of New York
re <u>Lehman Brothers Holdings, Inc.</u> ,	Case No. <u>08-13555 (JMP)</u>
NOTICE OF TRANSFER OF C	CLAIM OTHER THAN FOR SECURITY
Claim No. 45948 (if known) was filed or deer	med filed under 11 U.S.C. § 1111(a) in this case by the
lleged transferor. As evidence of the transfe of the transfe of the transfe of the clerk's office of	er of that claim, the transferee filed a Transfer of Claim f this court on (date).
	,
Nikko Cordial Securities Inc.	SMBC Nikko Securities Inc.
vame of Alleged Transferor	Name of Transferee
Address of Alleged Transferor:	Address of Transferee:
Marunouchi 3-chome, Chiyoda-ku Fokyo 100-8325, Japan	Marunouchi 3-chome, Chiyoda-ku Tokyo 100-8325, Japan
,	•
	O OBJECT TO TRANSFER~
he alleged transferor of the claim is hereby	notified that objections must be filed with the court
vithin twenty-one (21) days of the mailing of ourt, the transferee will be substituted as the	f this notice. If no objection is timely received by the coirginal claimant without further order of the court.
,	
Pate:	CLERK OF THE COURT

TO: Clerk of the Court

United States Bankruptcy Court

Southern District of New York ("Bankruptcy Court")

New York, New York

RE:

Lehman Brothers Holdings, Inc. ("Debtor")

Case No. 08-13555 (JMP)

Claim #: 45948

Nikko Cordial Securities Inc. ("<u>Transferor</u>"), for value received, the adequacy and sufficiency of which are hereby acknowledged, does hereby unconditionally and irrevocably transferred and assign to SMBC Nikko Securities Inc., its successors and assigns ("<u>Transferee</u>"), all rights, title and interest in and to the claim of Transferor in the amount of U.S. \$1,514,147.81 ("<u>Claim</u>") against the Debtor in the Bankruptcy Court, or any other court with jurisdiction over the bankruptcy proceedings of the Debtor.

Transferor hereby waives any objection to the transfer of the Claim to Transferee on the books and records of the Debtor and the Bankruptcy Court, and hereby waives to the fullest extent permitted by law any notice or right to a hearing as may be imposed by Rule 3001 of the Federal Rules of Bankruptcy Procedure, the Bankruptcy Code, applicable local bankruptcy rules or applicable law. Transferor acknowledges and understands, and hereby stipulates that an order of the Bankruptcy Court may be entered without further notice to Transferor transferring to Transferee the Claim and recognizing the Transferee as the sole owner and holder of the Claim, and that all payments or distributions of money or property in respect of the Claim be delivered or made to Transferee.

You are hereby directed to make all future payments and distributions to Transferee, at SMBC Nikko Securities Inc., 3-1, Marunouchi 3-chome, Chiyoda-ku, Tokyo 100-8325, Japan; and to give all notices and other communications, in respect of the Claim to SMBC Nikko Securities Inc., 3-1, Marunouchi 3-chome, Chiyoda-ku, Tokyo 100-8325, Japan, Telephone number: +81-3-5644-3111, shinike_hideyuki@smbc.nikko.co.jp, and Baker & McKenzie LLP, 1114 Avenue of the Americas, New York, NY 10036, Attn: Ira A. Reid, Tele. No. 212-891-3976, ira.reid@bakermckenzie.com.

IN WITNESS WHEREOF, the undersigned has duly executed this Assignment of Claim by its duly authorized representative dated April 5, 2011.

SMBC Nikko Securities Inc., as Transferee:

By: J. Matsumoto

General Manager of the Legal Division

Nikko Cordial Securities Inc., as Transferor

Jouji Matsumoto

General Manager of the Legal Division

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